

Examples of Violations

<u>Failure to Comply with:</u>	<u>Examples including, but not limited to:</u>
The Provider Manual, memorandums or other DIDD policies, procedures or written guidelines	<ul style="list-style-type: none"> • Failure to abide by protection from harm processes and procedures. • Authorized services not performed in accordance with the expectations in the provider manual. • Failure to manage a person's funds in accordance with the Personal Funds Management Policy. • Placing a person supported in Immediate Jeopardy (e.g., not following dining plans or special diet).
Provider Personnel Requirements	<ul style="list-style-type: none"> • Failure to obtain permission for release of information for all new hires and contracted staff. • Failure to complete background checks. • Employing, retaining, hiring, or contracting with prohibited staff.
Reporting Abuse, Neglect, and Exploitation (ANE)	<ul style="list-style-type: none"> • Failure to report suspected ANE. • Failure to cooperate with an ANE investigation. • Refusal to allow access to records.
Fraud	<ul style="list-style-type: none"> • Committing fraud. • Failure to report fraud. • Failure to cooperate with a fraud investigation.
Training	<ul style="list-style-type: none"> • Failure to comply with all training requirements within the specified time frames. • Failure to participate in Mandatory Technical Assistance.
Timely Reports	<ul style="list-style-type: none"> • Failure to submit reports within required time frames. • Failure to submit documents using prescribed forms and formats. • Failure to abide by documentation requirements as

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	specified in the provider manual.
License requirements	<ul style="list-style-type: none"> • Lack of appropriate food in the home. • Failure to obtain or maintain appropriate licenses. • Failure to ensure appropriate supervision for clinical staff, e.g., licensed practical nurses.
Freedom of Choice	<ul style="list-style-type: none"> • Impeding the person's Freedom of Choice of providers. • Forcing a person residing in Supported Living to move when another provider is selected. • Failure to ensure that the person supported is not unduly influenced by the provider or the provider's employees. • Failure to ensure that the person supported is not unduly influenced by the Independent Support Coordinator.
Continuity of Care	<ul style="list-style-type: none"> • Failure to provide written notice of discontinuation of services. • Failure to obtain state approval prior to discontinuing services. • Failure to cooperate with discharge planning.
Financial, Business and Service Records	<ul style="list-style-type: none"> • Failure to maintain bookkeeping and or accounting records. • Failure to maintain documentation of services provided. • Failure to maintain and store records for each person supported. • Failure to maintain copies of pertinent medical records.

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Medical Appointments	<ul style="list-style-type: none">• Failure to ensure the person attends scheduled appointments.• Failure to arrange appointments as recommended by the person's healthcare providers.
Retaliation	<ul style="list-style-type: none">• Failure to allow a person supported to seek resolution of a violation of their rights or complaints about the quality of their care without retaliation.• Retaliation against a person supported in response to a complaint.